

FORM PTO-1390  
(REV 5-93)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTORNEY DOCKET NO.  
107400-00023TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

DATE: March 8, 2001

U.S. APPLN. NO.  
(IF KNOWN, SEE 37 C.F.R. 1.5)

09/786338

INTERNATIONAL APPLICATION NO.  
PCT/JP99/04903INTERNATIONAL FILING DATE  
September 9, 1999PRIORITY DATE CLAIMED  
October 9, 1998

TITLE OF INVENTION: SEMICONDUCTOR LIGHT EMITTING DEVICE AND METHOD FOR MANUFACTURING THE SAME

APPLICANT(S) FOR DO/EO/US: Tetsuhiro TANABE and Ken NAKAHARA (both of Kyoto-shi, Japan)

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.  
(THE BASIC FILING FEE IS ATTACHED)
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures [35 U.S.C. 371(f)] at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper demand for International Preliminary Amendment was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed [35 U.S.C. 371(c)(2)]
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English [35 U.S.C. 371(c)(2)].
7. ☒ Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)].
9. ☒ An oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)].
10. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)].

Items 11 - 16 below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: ☒ Copy of Cover Sheet of Published International Application  
CHECK NO. ☒  
Drawings (☒ 28 sheets)

U.S. APPLICATION NO. (IF KNOWN) SEE 37 C.F.R. 1.501 <div style="font-size: 1.5em; font-weight: bold; margin-top: 10px;">09/786338</div>		INTERNATIONAL APPLICATION NO. PCT/JP99/04903		ATTORNEY DOCKET NO. 107400-00023 DATE: March 8, 2001											
17. <input checked="" type="checkbox"/> The following fees are submitted: <b>Basic National Fee [37 C.F.R. 1.492(a)(1)-(5)]:</b> Search Report has been prepared by the EPO or JPO.....\$860.00 International preliminary examination fee paid to USPTO (37 C.F.R. 1.482).....\$690.00 No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but international search fee paid to USPTO [37 C.F.R. 1.445(a)(2)].....\$710.00 Neither international preliminary examination fee (37 C.F.R. 1.482) or international search fee [37 C.F.R. 1.445(a)(2)] paid to USPTO.....\$1,000.00 International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).....\$ 100.00				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">CALCULATIONS</th> <th style="width: 50%;">PTO USE ONLY</th> </tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </table>		CALCULATIONS	PTO USE ONLY								
CALCULATIONS	PTO USE ONLY														
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>\$ 1,000.00</b>											
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date [37 C.F.R. 1.492(e)].				<b>\$</b>											
Claims	Number Filed	Number Extra	Rate												
Total Claims	58 - 20 =	38	X \$ 18.00	\$ 684.00											
Independent Claims	27 - 3 =	24	X \$ 80.00	\$ 1,920.00											
Multiple dependent claim(s) (if applicable)			+ \$270.00	\$											
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$ 3,604.00</b>											
Reduction by one-half for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28).				<b>\$</b>											
<b>SUBTOTAL =</b>				<b>\$ 3,604.00</b>											
Processing fee of \$130.00 for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date [37 C.F.R. 1.492(f)].				<b>\$</b>											
<b>TOTAL NATIONAL FEE =</b>				<b>\$ 3,604.00</b>											
Fee for recording the enclosed assignment [37 C.F.R. 1.21(h)]. The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property				<b>\$ 40.00</b>											
<b>TOTAL FEES ENCLOSED =</b>				<b>\$ 3,644.00</b>											
				Amount to be refunded	\$										
				Charged	\$										
a. <input checked="" type="checkbox"/> A check in the amount of \$3,644.00 to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. 01-2300 in the amount of \$            to cover the above fee. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 01-2300.															
NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive [37 C.F.R. 1.137(a) or (b)] must be filed and granted to restore the application to pending status.															
SEND ALL CORRESPONDENCE TO: Arent Fox Kintner Plotkin & Kahn 1050 Connecticut Avenue, N.W. Suit 600 Washington, D.C. 20036-5339 T: (202) 857-6000 Fax: (202) 638-4810 GEO/epb															
<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="width: 40%;"> <p>George E. Oran, Jr. Reg. No. 27,931</p> </div> <div style="width: 50%; border-top: 1px solid black; margin-top: 20px;"></div> </div>															